

# **James Bauman**

## **Disposition of Criminal Case**

DATE: May 23, 2002 DEFENDANT: James Bauman of Arizona

DISPOSITION: Charges were filed against Bauman one count each securities fraud, unregistered broker/dealer or agent, and selling unregistered securities in Osborne County. Bond was set at \$35,000. A warrant for arrest was issued.

COURT: Osborne County, Kansas

## **Disposition of Criminal Case**

DATE: June 12, 2002 DEFENDANT: James Bauman of Arizona

CHARGES: James Bauman formerly of Los Angeles is charged with acting as unregistered broker-dealer by selling unregistered securities, ie. Investment contracts in the form of a California limited partnership known as Infomercial Designers, LLC, a company that financed the production of infomercials for television. Bauman's company, JKB & Associates, a California corporation offered and sold the investment by general solicitation to three residents of Kansas. Bauman was arrested in the state of Arizona on Osborne county warrant, which charged him with one count each securities fraud, unregistered broker/dealer or agent, and selling unregistered securities. He posted set bond of \$35,000.

COURT: Osborne County, Kansas

## **Disposition of Criminal Case**

DATE: February 12, 2003 DEFENDANT: James Bauman of Arizona

DISPOSITION: Mr. James A. Baumann pled guilty to Conspiracy to Transact Business as a Broker-Dealer or Agent without registration. He agreed to pay \$20,000 in restitution and over \$3,000 in costs. Sentencing is scheduled for May 21.

JUDGE: Honorable William B. Elliot

COURT: Osborne County, Kansas

## **Consent Order**

Date: February 25, 2003

Respondent: James A. Baumann

Allegations: securities fraud, unregistered broker/dealer or agent, and selling unregistered securities

Respondent entered into a Consent Order whereby James A. Baumann was barred from association with any broker-dealer or investment adviser registered under the Kansas Securities Act.

**Notice to Investors:** If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.